



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Application of: Lawrence Shields et al. Docket No.: 4797-86  
Serial No.: 10/003,613 Examiner: To be assigned  
Filed: November 2, 2001 Group Art Unit: 2164  
Title: **SYSTEM AND METHOD FOR IMPLEMENTING  
EMPLOYEE STOCK OPTION AND PURCHASE PLANS**

July 18, 2002

Commissioner for Patents  
Washington, D.C. 20231

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 CFR §1.97(b)**

Sir:

In accordance with the duty of disclosure under 37 CFR §1.56, applicant hereby notifies the U. S. Patent and Trademark Office of the following documents, which are listed on the attached PTO/SB/08A form. The examiner may deem these documents to be relevant to patentability of the claims of the above-identified application. Copies of the documents are enclosed for the examiner's convenience.

The submission of the listed documents is not intended as an admission that the document constitutes prior art against the claims of the present application. Applicants do not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

Applicants respectfully request that the listed documents be considered by the examiner and be made of record in the present application and that an initialed copy of Form PTO/SB/08A be returned in accordance with MPEP §609.

It is understood that no fee is necessary for submission of this Information Disclosure Statement, as it is being filed before the later of three months from the filing date or the mailing of the first Office Action on the merits.

The Commissioner is hereby authorized to charge payment of any fees associated with this application or credit any overpayment to Deposit Account No. 02-4270.

Respectfully submitted,

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Substitute for form 1449A/PTO				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				Application Number	10/003,613
(use as many sheets as necessary)				Filing Date	November 2, 2001
Sheet	1	of	3	First Named Inventor	Lawrence Shields et al.
				Group Art Unit	2164
				Examiner Name	To be assigned
				Attorney Docket Number	4797-86

<b>U.S. PATENT DOCUMENTS</b>						
Examiner Initials	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
		4,346,442		MUSMANNO, Thomas	08/24/1982	
JUL 23 2002	PTO-100	4,376,978		MUSMANNO, Thomas	03/15/1983	
		4,566,066		TOWERS, Frederic	01/21/1986	
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		4,994,964		WOLFBERG, Larry, et al.	02/19/1991	
		5,126,936		CHAMPION, Robert, et al.	06/30/1992	

<b>FOREIGN PATENT DOCUMENTS</b>								
Examiner Initials	Cite No. <sup>1</sup>	U.S. Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				

Examiner Signature	Date Considered
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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		Number	Kind Code <sup>2</sup> (if known)			
		5,132,899		FOX, Phillip	07/21/1992	
		5,193,056		BOES, R. Todd	03/09/1993	
		5,210,687		WOLFBERG, Larry, et al.	05/11/1993	
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		5,692,233		GARMAN, Mark	11/25/1997	
		5,758,097		DEBE, A. Joseph, et al.	05/26/1998	

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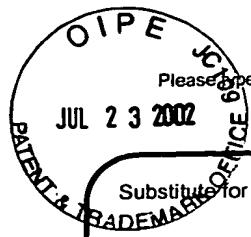
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